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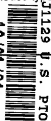
12-31-01

PTO/SB/05 (03-01)

Approved for use through 10/31/2002. OMB 0651-0032
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12/24/01



1129 U.S. PTO

UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR 1.53(b))

| | | | |
|--|-------------------|-------------|----|
| Attorney Docket No. | 10727-003 | Total Pages | 42 |
| First Named Inventor or Application Identifier | | | |
| Jeffrey Tarrant | | | |
| Express Mail Label No. | EL 477 033 099 US | | |

APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

ADDRESS TO: Assistant Commissioner for Patents
Box Patent Application
Washington, DC 20231

- ☒ Fee Transmittal Form
Submit an original, and a duplicate for fee processing)
- ☒ Applicant claims Small Entity status, see 37 C.F.R. § 1.27
- ☒ Specification [Total Pages 31]
(preferred arrangement set forth below)
-Descriptive title of the Invention
-Cross Reference to Related Applications
-Statement Regarding Fed sponsored R&D
-Reference to Microfilm Appendix
-Background of the Invention
-Brief Summary of the Invention
-Brief Description of the Drawings (if filed)
-Detailed Description of the Invention (including drawings, if filed)
-Claim(s)
-Abstract of the Disclosure
☐ Drawing(s) (35 USC 113) [Total Sheets 6]
☒ Oath or Declaration (unexecuted) [Total Sheets 2]
a. ☐ Newly executed (original or copy)
b. ☐ Copy from a prior application (37 CFR 1.63(d))
(for continuation/divisional with Box 19 completed)
i. ☐ **DELETION OF INVENTOR(S)**

- ☐ CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)
- ☐ Nucleotide and/or Amino Acid Sequence Submission
(if applicable, all necessary)
a. ☐ Computer Readable Copy
b. ☐ Paper Copy (identical to computer copy)
c. ☐ Statement verifying identity of above copies

ACCOMPANYING APPLICATION PARTS

- ☐ Assignment Papers (cover sheet & document(s))
- ☐ 37 CFR 3.73(b) Statement ☐ Power of Attorney
(when there is an assignee)
- ☐ English Translation Document *(if applicable)*
- ☐ Information Disclosure Statement ☐ Copies of IDS
(IDS)/PTO-1449 Citations
- ☐ Preliminary Amendment
- ☒ Return Receipt Forward (MPEP 503)
(Should be specifically itemized)
- ☐ Certified Copy of Priority Document(s)
(if foreign priority is claimed)
- ☐ Nonpublication Request under 35 U.S.C. 122 (b)(2)(i).
Applicant must attach form PTO/SB/35 or it's equivalent
- ☐ Other:

Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33 (b).

- ☐ Application Data Sheet. See 37 CFR 1.75

- If a CONTINUING APPLICATION, check appropriate box and supply the requisite information:**
☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No. filed.

19. CORRESPONDENCE ADDRESS

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Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231.



PENNIE & EDMONDS LLP
COUNSELORS AT LAW
1155 Avenue of Americas
New York, N.Y. 10036-2711

ATTORNEY DOCKET NO. 10727-003Date: December 21, 2001

Assistant Commissioner for Patents
Box PATENT APPLICATION
Washington, D.C. 20231

Sir:

The following utility patent application is enclosed for filing:

Applicant(s): Jeffrey Tarrant

Executed on:

Title of Invention: METHOD AND SYSTEM FOR SHARING INVESTOR INFORMATION OVER AN ELECTRONIC NETWORK

PATENT APPLICATION FEE VALUE

| TYPE | NO. FILED | LESS | EXTRA | EXTRA RATE | FEE |
|---|-----------|------|-------|--------------|-------------|
| Total Claims | 14 | -20 | 0 | \$18.00 each | \$ 0.00 |
| Independent | 4 | -3 | 1 | \$84.00 each | \$ 84.00 |
| Minimum Fee | | | | | \$ 740.00 |
| Multiple Dependency Fee If Applicable (\$280.00) | | | | | \$ 0.00 |
| Total | | | | | \$ 824.00 |
| Applicant qualifies for the 50% Reduction for Independent Inventor, Nonprofit Organization or Small Business Concern | | | | | - \$ 412.00 |
| Total Filing Fee | | | | | \$ 412.00 |

- ☐ **DO NOT PUBLISH.** I hereby certify that the invention disclosed in the attached application has not and will not be the subject of an application filed in another country, or under a multilateral agreement, that requires publication at eighteen months after filing. I hereby request that the attached application not be published under 35 U.S.C. 122(b).
- ☒ Priority of U.S. provisional application no. 60/257,683 filed on December 22, 2000 is claimed under 35 U.S.C.
- ☐ The certified copy of the priority application has been filed in application no. filed
- ☐ Amend the specification by inserting before the first line the following sentence: This is a continuation-in-part of application no. filed .

§ 119.

enclosed.

Please charge the required fee to Pennie & Edmonds LLP Deposit Account No. 16-1150. A copy of this sheet is

Respectfully submitted,

Steven I. Wallach (Reg. No. 47,205)
35,402
for Steven I. Wallach
PENNIE & EDMONDS LLP (Reg. No.)